



Docket No.: 74451P024XD

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

AHMAD ZANDI, ET AL.

Application No.: 09/499,255

Filed: February 7, 2000

For: **METHOD AND APPARATUS FOR  
COMPRESSION USING REVERSIBLE  
WAVELET TRANSFORMS AND AN  
EMBEDDED CODESTREAM**

Art Group: 2621

Examiner: Phuoc Tran

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**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). This IDS and IDS Citation Form are being submitted concurrently with the Divisional Application. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Some or all of the references listed on the enclosed PTO/SB/08 were previously identified in the parent application (Application No. 08/498,695, filed June 30, 1995) and copies of the references were furnished at that time. Accordingly, per 37 CFR §1.98(d)(1) additional copies of those references are not submitted herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: March 11, 2004

  
\_\_\_\_\_  
Michael J. Mallie, Reg. No. 36,591

12400 Wilshire Boulevard, 7th Floor  
Los Angeles, CA 90025  
Telephone: (408) 720-8300

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
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Angela M. Quinn

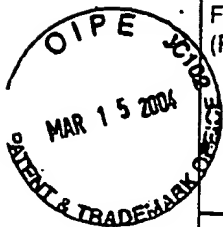
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Form PTO-1449  
(REV. 8-83)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

SERIAL NO.

74451.P024XD

09/499,255

APPLICANT

Zandi, et al.

FILING DATE

2/7/00

GROUP

2621

## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	133 5 2 4 1 3 9 5	8-31-93	Chen			
	14 5 3 8 1 1 4 5	1-10-95	Allen et al.			
	15 4 8 9 4 7 1 3	1-16-90	Delogne et al.			
	16 4 9 2 2 5 4 4	5-1-90	Stansfield et al.			
	17 4 9 9 9 7 0 5	3-12-91	Puri			
	18 5 1 0 9 4 5 1	4-28-92	Aono et al.			
	19 5 2 3 5 4 3 4	8-10-93	Wober			
	20 5 3 3 5 0 1 6	8-02-94	Nakagawa			

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## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	21 WO 91 08 902	3-21-91	PCT				
	22 06 11 05 1 A 1	8-17-94	EPO				
	23 22 11 69 1 A	5-07-89	UK				
	24 05 93 01 3 A 2	4-20-94	EPO				
	25 05 10 93 3 A 1	10-28-92	EPO				

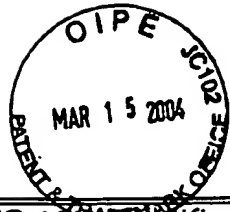
## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	26	Amir Said et al. "Image Compression Using the Spatial-Orientation Tree". IEEE, 1993 p.279-282

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



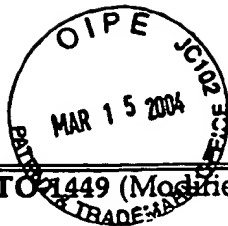
Page 5 of 23

Form PTO-1449 (Modified)				Atty D cket No.: 74451.P024XD		Serial No.: 09/499,255		
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: ZANDI ET AL.				
				Filing Date: 2/7/00				
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS				
Exam. Initial		Date	Document Number	Name	Class	Sub- Class	Filing Date	
	27	12/10/91	5,072,308	LIN ET AL.				
	28	3/17/92	5,097,331	CHEN ET AL.				
	29	3/31/92	5,101,280	MORONAGA ET AL.				
	30	7/7/92	5,128,791	LEGALL ET AL.				
	31	1/26/93	5,182,645	BREEUWER ET AL.				
	32	5/24/94	5,315,670	SHAPIRO				
	33	6/14/94	5,321,776	SHAPIRO				
	34	5/2/95	5,412,741	SHAPIRO				
	35	5/15/79	4,155,097	LUX				
	36	2/26/80	4,190,861	LUX				
	37	11/16/93	5,262,958	CHUI ET AL.				
	38	2/27/96	5,495,292	ZHANG ET AL.				
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No.		Document No.	Date	Country	Name	Class	Sub-Class	Trans- lation
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)								
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REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS				
Exam. Initial		Date	Document Number	Name	Class	Sub- Class	Filing Date	
	39	3/24/87	4,652,881	LEWIS				
	40	6/16/87	4,674,125	CARLSON ET AL.				
	41	11/15/88	4,785,348	FONSALAS ET AL.				
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	44	6/13/89	4,839,889	GOCKLER				
	45	9/19/89	4,868,868	YAZU ET AL.				
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	49	5/9/89	4,829,378	LEGALL				
	50	6/6/89	4,837,517	BARBER				
	51	9/5/89	4,864,398	AVIS ET AL.				
	52	1/30/90	4,897,717	HAMILTON ET AL.				
	53	2/27/90	4,904,073	LAWTON ET AL.				
	54	5/29/90	4,929,223	WALSH				
	55	6/26/90	4,936,665	WHITNEY				
	56	11/27/90	4,974,187	LAWTON				
	57	1/1/91	4,982,283	ACAMPORA				
	58	7/12/83	4,393,456	MARSHALL, JR.				
	59	2/4/86	4,569,075	NUSSBAUMER				
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	60	"Proceedings: ICASSP 87", 1987 International Conference on Acoustics, Speech, and Signal Processing, April 6, 7, 8, 9, 1987, Volume 4 of 4, "Application of Quadrature Mirror Filtering to the Coding of Monochrome and Color Images", H. Gharavi and A. Tabatabai, p. 2384-2387.						
	61	International Search Report for Application No: GB 9518298.6, dated 8 November 1995.						
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	62	1/30/79	4,136,954	JAMIESON				
	63	9/16/80	4,223,354	NOBLE ET AL.				
	64	7/8/86	4,599,567	GOUPILLAUD ET AL.				
	65	5/5/87	4,663,660	FEDELE ET AL.				
	66	10/20/87	4,701,006	PERLMUTTER				
	67	7/26/88	4,760,563	BEYLKIN				
	68	11/15/88	4,785,349	KEITH ET AL.				
	69	2/14/89	4,805,129	DAVID				
	70	3/28/89	4,817,182	ADELSON ET AL.				
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	72	5/2/89	4,827,336	ACAMPORA ET AL.				
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	73	Mark J. T. Smith and Thomas P. Barnwell, III, "Exact Reconstruction Techniques for Tree-Structured Subband Coders", IEEE Transactions on Acoustics, Speech, and Signal Processing, Vol. ASSP-34, No. 3, June 1986, p. 434-441.						
	74	Marvin Vetterli, "Multi-Dimensional Sub-Band Coding: Some Theory and Algorithms", Signal Processing 6 (1984) p. 97-112.						
	75	H. Gharavi and Ali Tabatabai, "Sub-band Coding of Digital Images Using Two-Dimensional Quadrature Mirror Filtering", SPIE Vol. 707 Visual Communications and Image Processing (1986), p. 51-61.						
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<b>List of Patents and Publications Statement</b> (Use several sheets if necessary)				<b>Applicants:</b> ZANDI ET AL.				
				<b>Filing Date:</b> 2/7/00				
<b>REFERENCE DESIGNATION</b>				<b>U.S. PATENT DOCUMENTS</b>				
<b>Exam. Initial</b>		<b>Date</b>	<b>Document Number</b>	<b>Name</b>	<b>Class</b>	<b>Sub-Class</b>	<b>Filing Date</b>	
	76	4/7/92	5,103,306	WEIMAN ET AL.				
	77	6/9/92	5,121,191	CASSEREAU ET AL.				
	78	6/23/92	5,124,930	NICOLAS ET AL.				
	79	7/7/92	5,128,757	CITTA ET AL.				
	80	9/15/92	5,148,498	RESNIKOFF ET AL.				
	81	10/6/92	5,152,953	ACKERMANN				
	82	10/20/92	5,156,943	WHITNEY				
	83	12/22/92	5,173,880	DUREN ET AL.				
	84	5/30/95	5,420,891	AKANSU				
	85	5/25/71	3,580,655	LEITH ET AL.				
	86	4/13/76	3,950,103	SCHMIDT-WEINMAR				
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	87	WO 96/09718	3/28/96	PCT				
	88	WO 95/19683	7/20/95	PCT				
	89	EP 0701375 A2	3/13/96	EUROPE				
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	90	John W. Woods and Sean D. O'Neil, "Sub-Band Coding of Images", Proceedings ICASSP 86, Tokyo, Japan, April 1986, p. 1005-1008.						
	91	John W. Woods, "Subband Coding of Images", IEEE Transactions on Acoustics, Speech, and Signal Processing, Vol. ASSP-34, No. 5, October 1986, p. 1278-1288.						
	92	"Proceedings: ICASSP 87", 1987 International Conference on Acoustics, Speech, and Signal Processing, April 6, 7, 8, 9, 1987, Volume 3 of 4, "Sub-band Coding of Images Using Predictive Vector Quantization", P. H. Westerink, J. Biemond and D. E. Boekee, p. 1378-1381.						
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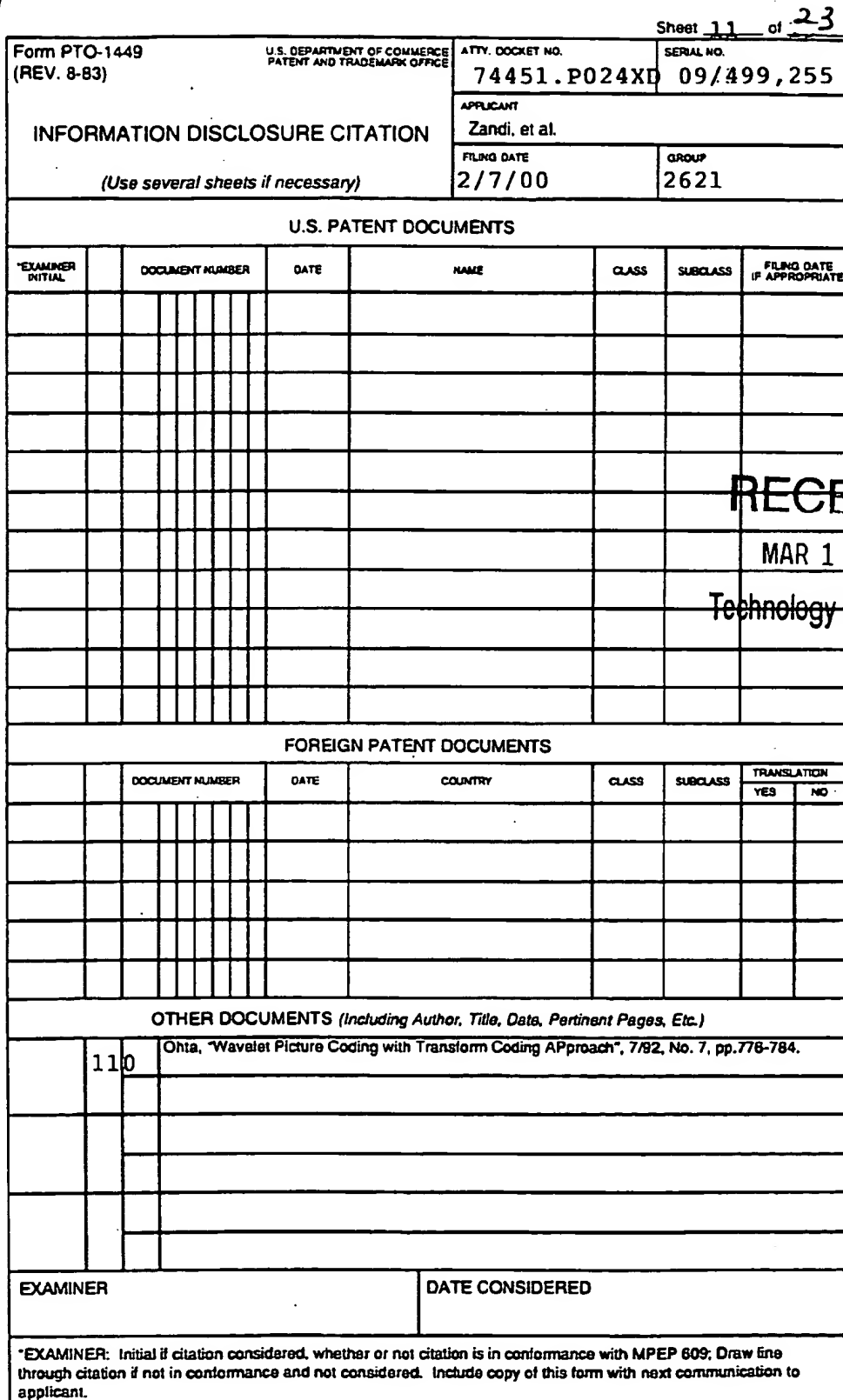


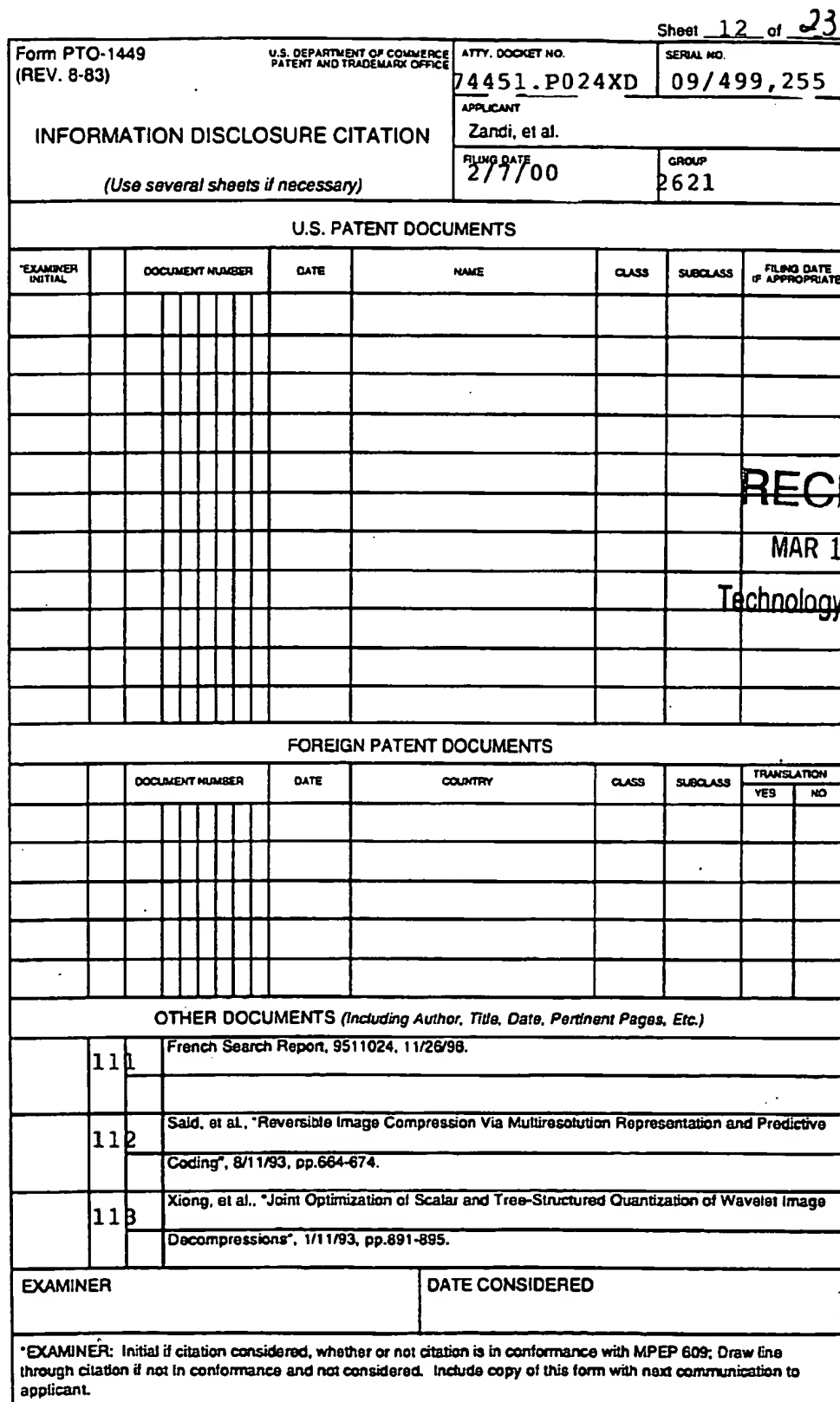
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<b>List of Patents and Publications Statement</b> (Use several sheets if necessary)				74451 . P024XD		09/499,255		
				<b>Applicants:</b>				
				ZANDI ET AL.				
				<b>Filing Date:</b> 2/7/00				
<b>REFERENCE DESIGNATION</b>				<b>U.S. PATENT DOCUMENTS</b>				
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	93	1/15/91	4,985,927	NORWOOD ET AL.				
	94	1/22/91	4,987,480	LIPPMAN ET AL.				
	95	3/19/91	5,000,183	BONNEFOUS				
	96	3/19/91	5,001,764	WOOD ET AL.				
	97	5/7/91	5,014,134	LAWTON ET AL.				
	98	5/21/91	5,018,210	MERRYMAN ET AL.				
	99	11/26/91	5,068,911	RESNIKOFF ET AL.				
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	101	1/14/92	5,081,645	RESNIKOFF ET AL.				
	102	3/10/92	5,095,447	MANNS ET AL.				
	103	3/31/92	5,101,446	RESNIKOFF ET AL.				
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<b>No.</b>		<b>Document No.</b>	<b>Date</b>	<b>Country</b>	<b>Name</b>	<b>Class</b>	<b>Sub-Class</b>	<b>Trans-lation</b>
	104	WO 94/23385	10/13/94	PCT				
	105	0 622 741 A2	3/30/94	Europe				
	106	GB 2 284 121 A	5/24/95	UK				
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)</b>								
	107	"1977 IEEE International Conference on Acoustics, Speech & Signal Processing", "Application of Quadrature Mirror Filters to Split Band Voice Coding Schemes", D. Esteban and C. Galand, p. 191-195.						
	108	Martin Vetterli, "Filter Banks Allowing Perfect Reconstruction", Signal Processing 10 (1986), p. 219-244.						
	109	R. E. Crochiere, S. A. Webber, J. L. Flanagan, "Digital Coding of Speech in Sub-bands", 1976, American Telephone and Telegraph Company, The Bell System Technical Journal, Vol. 55, No. 8, October 1976, p. 1069-1085.						
<b>Examiner</b>				<b>Date Considered</b>				
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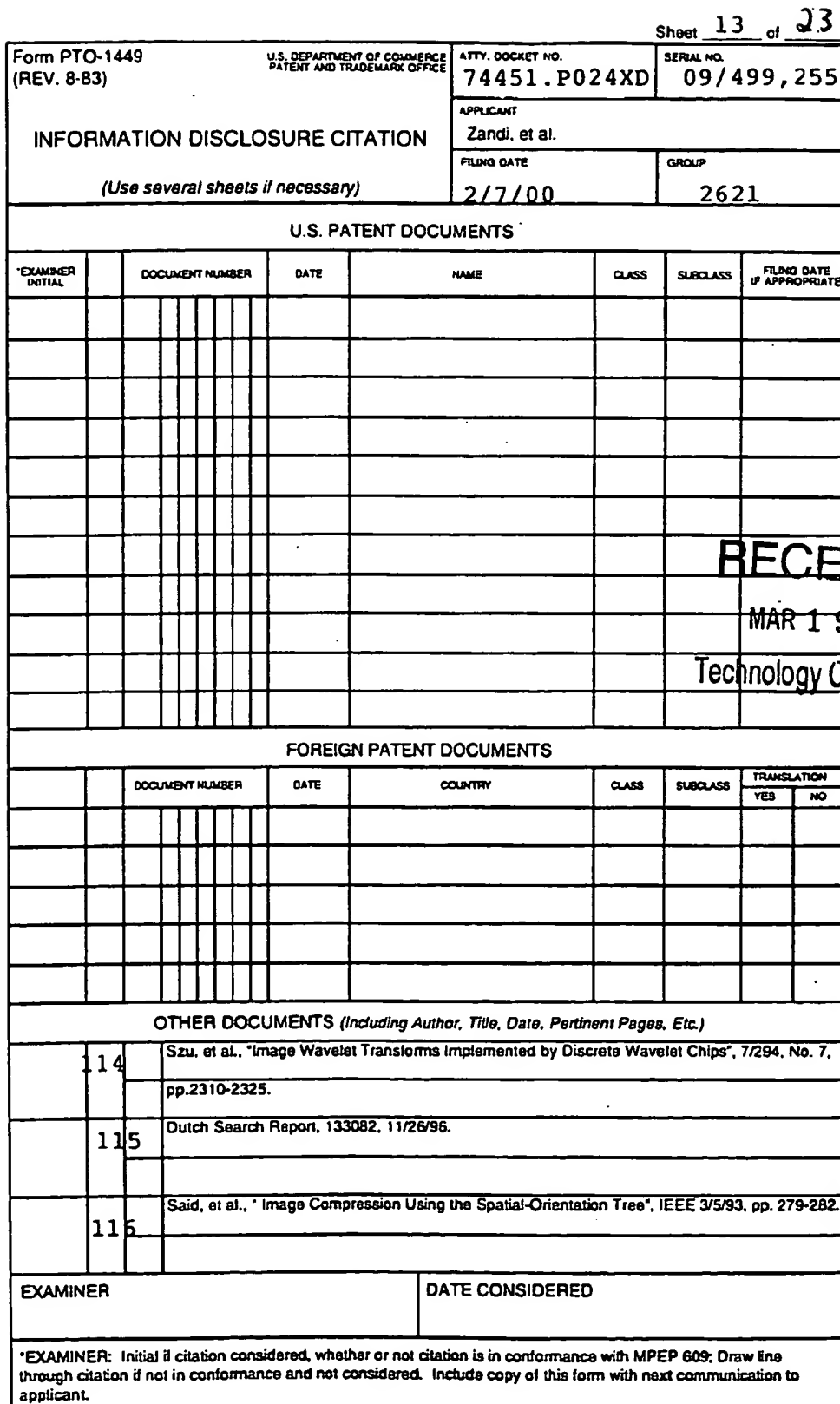
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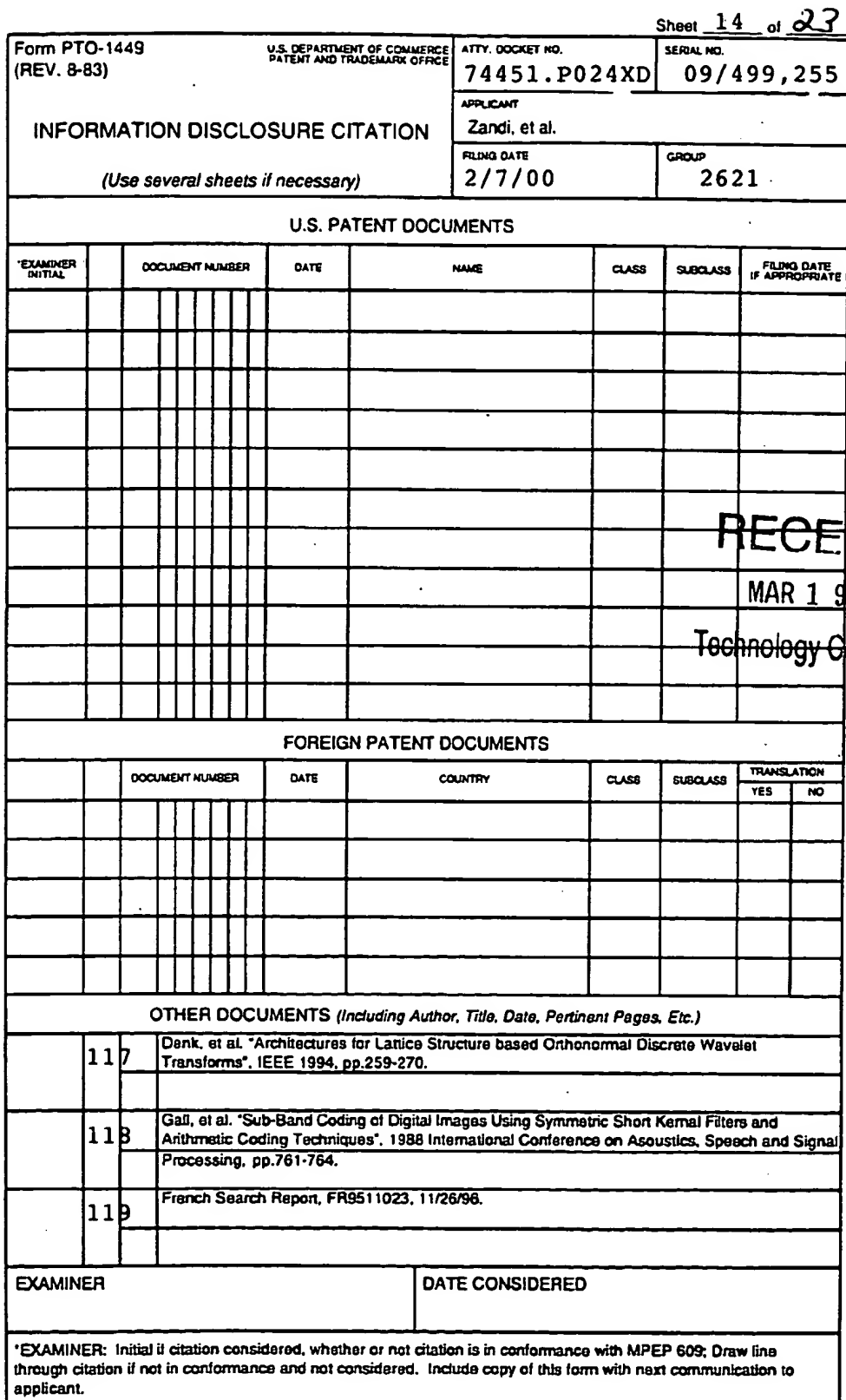
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Form PTO-1449 (REV. 8-83)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 74451.P024XD		SERIAL NO. 09/499,255	
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				APPLICANT Zandi, et al.		FILING DATE 2/7/00	
				GROUP 2621			
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		125 5 3 4 7 4 7 9	9/13/94	Miyazaki			
		126 5 4 1 2 7 4 1	5/2/95	Shapiro			
		127 5 4 5 3 9 4 5	9/26/95	Tucker, et al.			
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		130 5 5 3 7 4 9 3	7/16/96	Wildinson			
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		133 5 6 0 2 5 8 9	2/11/97	Vishwanath, et al.			
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EXAMINER				DATE CONSIDERED			
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Sheet 18 of 23

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**Notice of References Cited**Application No.  
09/499,255

Applicant(s)

Zandi et al.

Examiner

Phuoc Tran

Group Art Unit

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	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
141	5,867,602	2/99	Zandi et al.	382	248
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C					
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**FOREIGN PATENT DOCUMENTS**

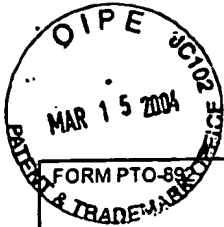
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**NON-PATENT DOCUMENTS**

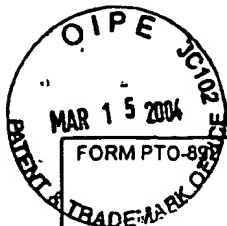
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U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		SERIAL NO. 09/1499,255	GROUP ART UNIT 2612	ATTACHMENT TO PAPER NO.			
NOTICE OF REFERENCES CITED		APPLICANT(S) Zandi et al.					
U.S. PATENT DOCUMENTS							
*		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	A	4,858,017	8/1989	Torbey	358	426	
	B	5,384,869	1/1995	Wilkinson et al	382	240	10/1992
	C	5,412,741	5/1995	Shapiro ✓	382	232	1/1993
	D	5,481,308	1/1996	Hartung et al.	348	398	2/1992
	E	5,495,292	2/1996	Zhang et al.	348	407	3/1993
	F	5,541,594	6/1996	Huang et al.	348	414	3/1994
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*		DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUB-CLASS
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*	R	Langdon, Jr., Sunset: a hardware oriented algorithm for lossless compression of gray scale images, 1991, pgs. 272-282.					
	S	Shapiro, Embedded Image Coding Using Zerotrees of Wavelet Coefficients, 12/1993, pgs. 3445-3462.					
	T	Reusens et al., New Results in subband/wavelet image coding, 5/1993, pgs. 381-385.					
	U						
EXAMINER Timothy M. Johnson		DATE August 7, 1996		Form892ccs2106b			
* A copy of this reference is not being furnished with this office action. (See Manual of Patent Examining Procedure, section 707.05(a).)							



FORM PTO-892		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		SERIAL NO. 09/499,255	GROUP ART UNIT 2612	ATTACHMENT TO PAPER NO.	
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EXAMINER Timothy M. Johnson		DATE October 15, 2000		Form 892ccs2106b			
* A copy of this reference is not being furnished with this office action. (See Manual of Patent Examining Procedure, section 707.05(a).)							



FORM PTO-893

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SERIAL NO.

09/499,258

GROUP ART  
UNIT  
2612ATTACHMENT  
TO PAPER NO.

## NOTICE OF REFERENCES CITED

APPLICANT(S)

Zandi et al.

## U.S. PATENT DOCUMENTS

*		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	A						
	B						
	C						
	D						
	E						
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## FOREIGN PATENT DOCUMENTS

*		DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUB-CLASS
	L						
	M						
	N						
	O						
	P						
	Q						

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	R	Pollara et al., Rate-distortion efficiency of subband coding with integer coefficient filters, 7/1994, pp. 419, Information Theory, 1994, IEEE.
	S	
	T	
	U	

EXAMINER

Timothy M. Johnson

DATE

May 31, 2001

Form 892ccs2106b

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Substitute for Form 1449A/PTO (Modified)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet 1 of 1

**Complete if Known**

Application Number	09/499,255
Filing Date	2/7/00
First Named Inventor:	Ahmad Zandi et al.
Group Art Unit	2612
Examiner Name	David M. Johnson
Attorney Docket Number	74451.P024XD

## U.S. PATENT DOCUMENTS

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Examiner Signature		Date Considered	
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